

PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2006

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ABDELDAYEM, MAZEN	03 CV 9128	SD NY	11/7/2006			ORDER	DISGORGEMENT OF \$10,000 AND RESTITUTION OF \$30,427.47 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER.
ABERNETHY, J. VERNON	04CV1512	D NJ	7/7/2006	4o(1); 4k(2)		PERMANENT INJUNCTION	RESTITUTION OF \$5,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$300,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
ABRAHAMS, DEREK	03-2193	D KS	4/19/2005			PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN FIVE DAYS; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
ACE CAPITAL ADVISORY GROUP, INC.	CV03-8339	CD CAL	11/29/2006			ORDER	DISGORGEMENT OF \$39,194.96 PLUS POST JUDGMENT INTEREST.
ACE EMERALD W. HOLDING, INC.	CV03-8339	CD CAL	3/15/2005			DEFAULT ORDER	DISGORGEMENT OF \$1,299.80; PROTECT BOOKS & RECORDS.
AEP ENERGY SERVICES	C2 03 891	SD OH	1/26/2005				CIVIL MONETARY PENALTY OF \$30,000,000 JOINTLY OWED WITHIN TEN DAYS; PROTECT & ACCESS BOOKS & RECORDS; SHALL COMPLY WITH UNDERTAKINGS.
AJR CAPITAL, INC.	05 CV 8422	SD NY	9/30/2005			COMPLAINT FILED	
ALLEN, JEFF THOMAS	05-08	CFTC	4/6/2005	4b(a)(i)&(iii); 4o(1)(A)&(B)		COMMISSION ORDER	CEASE & DESIST ORDER; PERMANENTLY PROHIBITED FROM TRADING; PROHIBITED FOR 5 YEARS FROM TRADING FOR HIMSELF; AP REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS.

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ALLEN, JOSEPH L.	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$435,000; CIVIL MONETARY PENALTY OF \$159,042; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
ALLIANCE DEVELOPMENT COMPANY	CV-N-06-512	D NV	11/6/2006	4b(a)(2)(i)-(iii); 4o(1); 4k(2)	4.41(a); 4.20; 4.21	PRELIMINARY INJUNCTION	TRADING PROHIBITION.
ALLOTTA, GREG	04-60744	SD FL	5/22/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$1,137,000; CIVIL MONETARY PENALTY OF \$373,000; STOP SOLICITATION; TRADING PROHIBITION.
ALLOTTA, GREG P.	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
ALTSCHULER, MELVOIN & GLASSER, LLP	04-29	CFTC	6/13/2005		1.16(d)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; JOINTLY OWE CIVIL MONETARY PENALTY OF \$150,000, DISGORGEMENT OF \$13,200 AND RESTITUTION OF \$200,000; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
AMERICAN ELECTRIC POWER COMPANY, INC.	C2 03 891	SD OH	1/26/2005				CIVIL MONETARY PENALTY OF \$30,000,000 JOINTLY OWED WITHIN TEN DAYS; PROTECT & ACCESS BOOKS & RECORDS; SHALL COMPLY WITH UNDERTAKINGS.
AMERICAN ENERGY EXCHANGE, INC.	06 CV 7017	SD NY	9/12/2006			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS; SHALL COMPLY WITH UNDERTAKINGS.
AMERICAN LIGHTHOUSE TRADING, INC.	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.

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ANIXTER, SCOTT C.	SD 04-03	CFTC	12/23/2005			COMMISSION ORDER	COMMISSION ISSUED OPINION AND ORDER AFFIRMING THE INITIAL DECISION IN PART AND MODIFYING IT IN PART; SUSPENDING ANIXTER'S REGISTRATION UNTIL THE CRIMINAL CHARGES AGAINST HIM ARE RESOLVED.
ARMAJARO TRADING LIMITED	05-11	CFTC	6/21/2005	4c(a)	1.39(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
ASARO, FRANK	03-2193	D KS	4/7/2006	4o(1)	4.41(a)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$310,000 JOINTLY OWED; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
ASTERN, RICHARD	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
ATHA, PAUL	1:05-CV-0293	ND GA	2/1/2005			COMPLAINT FILED	
AURIFEX COMMODITIES RESEARCH COMPANY	1 05 CV 0166	WD MI	6/1/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
AURIFEX RESEARCH L.L.C.	1 05 CV 0166	WD MI	6/1/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
AXESS TRADE CO., INC.	04 CV 4293	SD NY	9/12/2006	4(a); 4b(a)(2)(i)&(iii)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	RESTITUTION OF \$363,379.17 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST FOR EACH; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL NOT TRANSFER FUNDS; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BARTOS, ANDREW	05-60328	SD FL	8/18/2006	4c(b)	33.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$8,885 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$26,655; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
BAUGH, DERON	1 03 CV-2633	ND GA	6/29/2006	4c(b)	33.10(a) & (c)	PERMANENT INJUNCTION	RESTITUTION OF \$125,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$225,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
BAUGH, GARY	05-61672	SD FL	11/30/2005	4c(b); 4b(a)(i)&(iii)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$5,000 PER MONTH FOR REASONABLE LIVING EXPENSES.
BAYOU MANAGEMENT, LLC	05 CIV 8374	SD NY	4/3/2006	4o(1); 9(a)(3)	1.16	PERMANENT INJUNCTION	RESTITUTION & CIVIL MONETARY PENALTY TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION.
BAYOU MANAGEMENT, LLC	SD 06-06	CFTC	12/20/2006			COMMISSION ORDER	CPO REGISTRATION REVOKED; DISMISSED.
BEACON HILL ASSET MANAGEMENT, LLC	SD 05-02	CFTC	7/20/2005			ALJ INITIAL DECISION ON DEFAULT	COMMODITY POOL OPERATOR AND COMMODITY TRADING ADVISOR REGISTRATION REVOKED; FINAL ORDER OF COMMISSION.
BEASLEY, ROBERT JOSEPH	C 05 02142	ND CAL	8/19/2005	4o(1)(A)&(B)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ROBB, EVANS AND ASSOCIATES, LLC APPOINTED TEMPORARY RECEIVER.
BEHR, ERNST H.	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.

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BELANGER, GEORGE d/b/a IFC L.C., INVESTMENT FREEDOM CLUB, VENTURE FREEDOM FUND LTD., AND VENTURE FREEDOM FOUNDATION	8:03-CV-54-T	MD FL	4/4/2005	4(a); 4b(a)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	NFA DESIGNATED AS MONITOR; STOP SOLICITATION; TRADING PROHIBITION; MOTION FOR PARTIAL SUMMARY JUDGMENT AS TO LIABILITY GRANTED; ISSUE OF DAMAGES REMAINS OPEN FOR DETERMINATION.
BELBECK, DANIEL	1:04CV00911	MD NC	3/28/2006	4k(3)		PERMANENT INJUNCTION	RESTITUTION OF \$26,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$10,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
BERG, GARY	05-07	CFTC	1/18/2005		4.36	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN BUSINESS DAYS.
BERKSHIRE INTERNATIONAL HOLDINGS GROUP, LLC	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
BERKSHIRE INTERNATIONAL HOLDINGS, LLC	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
BERKSHIRE INTERNATIONAL, LLC a/k/a BERKSHIRE INTERNATIONAL GROUP, INC.	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
BLJ CONSULTING CORP.	03 CV 9126	SD NY	11/9/2006			ORDER	DISGORGEMENT OF \$684,161.
BODY BLASTERS	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BOOT CAMP DIET & FITNESS, INC.	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.

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BP PRODUCTS NORTH AMERICA, INC.	06C 3503	ND IL	6/28/2006			COMPLAINT FILED	
BRADLEY, JEFFREY A.	05CV62-CVE-FHM	ND GA	2/1/2005			COMPLAINT FILED	
BRICKELL KEY FINANCIAL, LLC.	04-22549	SD FL	7/14/2006	4b(a)(2)(i)&(iii)	33.10	DEFAULT ORDER	RESTITUTION OF \$114,199.74 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$360,000; STOP SOLICITATION; TRADING PROHIBITION.
BRISCOE AND ASSOCIATES, INC.	05-61588	SD FL	11/30/2006			PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$7,975; DAN DRISCOLL DESIGNATED AS MONITOR.
BURSZTYN, IAN	03 CV 9127	SD NY	11/7/2006			ORDER	RESTITUTION OF \$12,059,480 JOINTLY OWED; DISGORGEMENT OF \$202,547.30 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER.
BURSZTYN, IAN	03 CV 9128	SD NY	11/7/2006			ORDER	RESTITUTION OF \$12,059,480 JOINTLY OWED; DISGORGEMENT OF \$202,547.30 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER.
BURSZTYN, IAN	03 CV 9125	SD NY	11/7/2006			ORDER	CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION.

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CAMBRIDGE GLOBAL GROUP, INC.	CV 03 1826 PHX	D AZ	2/22/2006	4b(A)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
CAMPBELL, DON D.	06-60886	SD FL	6/20/2006			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS.
CAPUANO, JOHN	03 CV 9125	SD NY	11/7/2006		1.1(b)	ORDER	DISGORGEMENT OF \$12,700 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
CARL W. KING INVESTMENTS, LLP	3-06CV1583	ND TX	8/30/2006			COMPLAINT FILED	
CARNEGIE TRADING GROUP, LT., INC. (THE)	1:04CV1403	ND OH	6/27/2006			JUDGMENT	DISGORGEMENT OF \$32,850; RESTITUTION OF \$229,971.31; CIVIL MONETARY PENALTY OF \$98,550.
CASTILLO, GILBERT PHILIP JR	C 06 2540	ND CAL	4/12/2006			COMPLAINT FILED	
CASTLE ENTERPRISE CORPORATION d/b/a WALLSTREETWAR.COM d/b/a CASTILLORESEARCH.COM d/b/a NEVER-LOSE.COM	C 06 2540	ND CAL	4/12/2006			COMPLAINT FILED	
CECALA, JOSEPH J., JR.	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.
CENTURY MAXIM FUND, INC.	05 CV 8422	SD NY	9/30/2005			COMPLAINT FILED	
CERTIFIED FINANCIAL SERVICES, INC.	06-60001	SD FL	8/16/2006	4c(b)	1.1(b)&(3); 32.9(a)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$363,428 WITHIN TEN DAYS.
CHADWICK GRAYSON BAUER & CO., INC.	05-61672	SD FL	11/30/2005	4c(b); 4b(a)(i)&(iii)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
CHARLES, CAMERON	05-CV-2144	CD IL	6/23/2005			COMPLAINT FILED	

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CHASE COMMODITIES CORPORATION	SD 06-01	CFTC	9/13/2006			COMMISSION ORDER	IB REGISTRATION REVOKED.
CITY TRUST AND INVESTMENT CO., INC.	CV 03-8339	CD CAL	4/19/2005	4(a); 4b(a)(2)(i)&(iii)	1.1(b)(1)&(3)	DEFAULT ORDER	RESTITUTION OF \$3,242,106.37 AND CIVIL MONETARY PENALTY OF \$8,201,729.37 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
CLEARVIEW CAPITAL MANAGEMENT, INC.	04 cv 45 (FSH)	D NJ	1/17/2005	4b(a)(2)(i)&(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$560,000 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
CLINE, RUSSELL B.	CV 03 603	D OR	12/19/2006	4b(a); 4(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$16,567,905; CIVIL MONETARY PENALTY OF \$16,567,905.20; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
COES FX CLEARING INC.	CV 05 2547	ED NY	7/21/2006	4b(a)(2)(i)&(iii)		PERMANENT INJUNCTION	RESTITUTION OF \$246,601.92 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
COLDWELL PUBLISHING, INC.	4:06CV130	ED VA	9/29/2006			COMPLAINT FILED	
COMMODITY INVESTMENT GROUP, INC.	05 CV 5741	SD NY	2/11/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CONCORD ENERGY, LLC	05-D-178	D CO	2/1/2005			COMPLAINT FILED	
CREDIT LYONNAIS ROUSE LIMITED	05-13	CFTC	8/24/2005	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$85,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CROMWELL FINANCIAL SERVICES, INC.	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.

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CROWN, BRUCE N.	05-60328	SD FL	8/18/2006	4c(b)	33.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$148,756 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
DANIO, VINCENZO ("VINCENT")	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
DANYLUK, DARRELL	05-D-178	D CO	2/1/2005			COMPLAINT FILED	
DASILVA, MAURICIO	04 CV 7609	SD NY	9/21/2005	4(a); 4b(a)(2)(C)(i)&(iii)	1.1(b)(1)&(3)	DEFAULT ORDER	RESTITUTION/DISGORGEMENT OF \$2,704,597 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
DAYAN, BENJI	05-21571	SD FL	6/13/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
DBS CAPITAL, INC.	C 03-1379VRW	ND CAL	6/17/2005	4(a); 4b(a)(2)(i)-(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$7,108,186.11 PLUS PRE-JUDGMENT INTEREST OF \$4,396,839.13 AND POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,191,597.43 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR; ASSET FREEZE LIFTED.
DE WET, JAMES	05 CV 8401	SD NY	8/1/2006			DEFAULT ORDER	CIVIL MONETARY PENALTY OF \$120,000; RESTITUTION OF \$828,390 & DISGORGEMENT OF \$63,070 PLUS PRE & POST JUDGMENT INTEREST; FREEZE OF ASSETS.

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DEAN, JASON T.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DEAN, JASON TODD	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
DEAN, TARA LYN	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
DELAY, TODD J.	05C 5619	ND IL	9/29/2005			COMPLAINT FILED	
DENNISTON, TOBY WAYNE II	06-05	CFTC	8/7/2006	4b(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$250,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$209,070 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
DESANTIS, ERIN a/k/a ERIN ROSE VALKO	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
DESANTIS, FRANK A. a/k/a JOSH ANTHONY	06-60001	SD FL	1/4/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
DESANTIS, FRANK ANTHONY a/k/a JOSH ANTHONY	05-60928	SD FL	8/31/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DIZONA, ANTHONY	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
DOMINION RESOURCES, INC.	06-06	CFTC	9/27/2006	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$4,250,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.

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D'ONOFRIO, JOHN PETER	05-61672	SD FL	11/30/2005	4c(b); 4b(a)(i)&(iii)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$6,250 PER MONTH FOR REASONABLE LIVING EXPENSES.
DOYLE, MATTHEW	06 CV 6094	SD NY	8/10/2006			COMPLAINT FILED	
DYER, KELLY	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
EDWARDS, TY	1 05-CV 2709	ND GA	11/8/2005	4o(1); 9a(4)	4.22(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; RECEIVER IS AUTHORIZED AND DIRECTED TO DISBURSE THE SUMS OF \$16,721.54 TO WEIZENECKER, MOTTERN & FISHER, P.C.; \$8,038 TO BRENT GILLET, ESQ.; AND \$230 TO LANDMARK CONSULTING, INC. FOR LEGAL AND ACCOUNTING SERVICES.
EDWARDS, TYRONE	1 03 CV-2633	ND GA	6/29/2006	4c(b)	33.10(a) & (c)	PERMANENT INJUNCTION	RESTITUTION OF \$250,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$200,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
EFROSMAN, ALEXSANDER a/k/a ALEX BESSER	05 CV 8422	SD NY	9/30/2005			COMPLAINT FILED	
EMERALD WORLDWIDE HOLDINGS	CV03-8339	CD CAL	11/30/2006	4(a); 4b(a)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	RESTITUTION OF \$3,433,722.61; CIVIL MONETARY PENALTY OF \$9,000,000; STOP SOLICITATION; TRADING PROHIBITION.
E-METAL MERCHANTS, INC.	05-21571	SD FL	6/13/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
ERSKINE, ROSS	1:040V0016	ND OH	4/19/2006				DISMISSED
ERV & ASSOCIATES, INC.	06-60001	SD FL	8/16/2006	4c(b)	1.1(b)&(3); 32.9(a)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$124,024 WITHIN TEN DAYS.
EULO, JAMES	04-60744	SD FL	5/22/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$200,000; CIVIL MONETARY PENALTY OF \$75,000; STOP SOLICITATION; TRADING PROHIBITION.

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EUSTACE, PAUL M.	05 cv 2973	ED PA	9/19/2005	4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1)	33.10; 4.41(a)(1)&(2); 4.20(a)-(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; C. CLARK HODGSON, JR APPOINTED PERMANENT RECEIVER.
EXECUTIVE COMMODITY CORP.	06-60886	SD FL	6/20/2006			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS.
FALCO & STEVENS, INC.	06 CV 1692	SD NY	12/18/2006	4(a); 4(b)(a)(2)(C)(i) &(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	DEFAULT ORDER; JOINT OWED RESTITUTION OF \$4,464,607.91 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
FED AND ASSOCIATES, LLC.	05-61588	SD FL	11/30/2006			PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$155,000; DAN DRISCOLL DESIGNATED AS MONITOR.
FERRINI, PHIL	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$320,000; CIVIL MONETARY PENALTY OF \$152,178; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
FINANCIAL RISK INTERNATIONAL	06-61812	SD FL	12/4/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
FINANCIAL RISK MANAGEMENT	06-61812	SD FL	12/4/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
FIRST AMERICAN INVESTMENT SERVICES, INC.	04-60744	SD FL	5/22/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$7,983,388; CIVIL MONETARY PENALTY OF \$1,000,000; STOP SOLICITATION; TRADING PROHIBITION.

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FIRST INTERNATIONAL GROUP, INC.	06-20979	SD FL	4/18/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FIRST LIBERTY GROUP, INC.	04 CV 7609	SD NY	9/21/2005	4(a); 4b(a)(2)(C)(i)&(iii)	1.1(b)(1)&(3)	DEFAULT ORDER	RESTITUTION/DISGORGEMENT OF \$2,704,597 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
FITZGERALD, LEIZA	99 CV 1558	MD FL	10/19/2006			PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$25,000.
FLAVELL, BERNADETTE	05C 5263	ND IL	9/14/2005			COMPLAINT FILED	
FLEURY, GIOVANNI	03-61199	SD FL	3/9/2005			ORDER	PLAINTIFF'S MOTION FOR PRELIMINARY INJUNCTION DENIED; STATUTORY RESTRAINING ORDERS LIFTED; RECEIVER'S VERIFIED MOTION FOR ORDER TO SHOW CAUSE WHY HE SHOULD NOT BE ADJUDGED IN CIVIL CONTEMPT FOR FAILING TO SURRENDER CORPORATE PROPERTY DENIED; DEFENDANT FLEURY'S MOTION FOR RIGHT TO KEEP ALL EARNINGS MADE AFTER 6/30/03 GRANTED; BECAUSE THE STATUTORY RESTRAINING ORDERS ARE LIFTED, WASHINGTON MUTUAL BANK'S AND DEUTSCHE BANK NATIONAL TRUST COMPANY'S MOTION FOR LEAVE TO FORECLOSE A MORTGAGE SECURING PROPERTY OF INTEREST TO FLEURY IS DENIED AS MOOT.

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FOLEY, JOSEPH	2:05 cv 849	SD OH	9/28/2006			PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$350,000 TO BE PAID WITHIN TEN BUSINESS DAYS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
FOLINA, TINA NOA	8:03-CV-54-T	MD FL	3/30/2005			FINAL JUDGMENT	RESTITUTION OF \$2,316,859.17 JOINTLY OWED WITH OTHER DEFENDANTS; LIABLE FOR \$378,894.60 OF THAT AS DISGORGEMENT OF ILL-GOTTEN GAINS.
FOLINO, WILLIAM A.	8:03-CV-54-T	MD FL	4/4/2005	4(a); 4b(a)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	NFA DESIGNATED AS MONITOR; STOP SOLICITATION; TRADING PROHIBITION; MOTION FOR PARTIAL SUMMARY JUDGMENT AS TO LIABILITY GRANTED; ISSUE OF DAMAGES REMAINS OPEN FOR DETERMINATION.
FOREIGN FUND a/k/a FIRST BANK, RON MEALING, AND JOHN SHIRCK	04 CIV 3 04 0898	MD TN	3/30/2005	4b(a)(2)(i)&(iii); 4(a)	1.1(b)(1)&(3)	PRELIMINARY INJUNCTION	STOP SOLICITATION; MANDATES OF 10/5/04 STATUTORY RESTRAINING ORDER SHALL CONTINUE PENDING FURTHER ORDER OF COURT.
FREMER, CHARLES	04-80132	SD FL	5/30/2006	13c(b); 6(c)	1.2	FINAL JUDGMENT	RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$352,011; STOP SOLICITATION; TRADING PROHIBITION.
FRISONE, ANTHONY MICHAEL	CV 05 2547	ED NY	6/10/2005	4b(a)(2)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
FUZZY GROUP (THE)	03 CV 9126	SD NY	11/6/2006			ORDER	DISGORGEMENT OF \$81,000 WITHIN 90 DAYS; ALL PRIOR FREEZE ORDERS ARE DISSOLVED.
FX TRADING, LLC	05-5722	D NJ	12/8/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
FxTRADE FINANCIAL, LLC	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
G, HAWKER & STONE, LLC	2:03 CV-0260	D UT	3/29/2006			SUPPLEMENTAL ORDER	RESTITUTION OF \$245,163.47 PLUS POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$120,000 EACH JOINTLY OWED.
G7 ADVISORY SERVICES, LLC	05-80313	SD FL	10/31/2006	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$2,100,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
GALE, RANDOLPH dba BEAR INVEST FUND	04-08889	CD CAL	6/16/2005	4k(2)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
GALLITANO, STEPHANIE ANN	06-61812	SD FL	12/4/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GEE, DENNIS	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
GEMANCER II, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GEMANCER, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GERAUD ENTERPRISES, INC.	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$49,100; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
GERAUD, MICHEL a/k/a MIKE JERAUX	05-80313	SD FL	10/31/2006	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$2,100,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GIBRALTAR MONETARY CORPORATION	04-80132	SD FL	6/14/2006				RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$120,000.
GIOVANNI FLEURY INVESTMENTS	03-61199	SD FL	3/9/2005			ORDER	PLAINTIFF'S MOTION FOR PRELIMINARY INJUNCTION DENIED; STATUTORY RESTRAINING ORDERS LIFTED; RECEIVER'S VERIFIED MOTION FOR ORDER TO SHOW CAUSE WHY HE SHOULD NOT BE ADJUDGED IN CIVIL CONTEMPT FOR FAILING TO SURRENDER CORPORATE PROPERTY DENIED; DEFENDANT FLEURY'S MOTION FOR RIGHT TO KEEP ALL EARNINGS MADE AFTER 6/30/03 GRANTED; BECAUSE THE STATUTORY RESTRAINING ORDERS ARE LIFTED, WASHINGTON MUTUAL BANK'S AND DEUTSCHE BANK NATIONAL TRUST COMPANY'S MOTION FOR LEAVE TO FORECLOSE A MORTGAGE SECURING PROPERTY OF INTEREST TO FLEURY IS DENIED AS MOOT.
GLASE, JOHN	1:04CV1403	ND OH	6/27/2006			JUDGMENT	DISGORGEMENT OF \$32,850; RESTITUTION OF \$229,971.31; CIVIL MONETARY PENALTY OF \$98,550.
GLOBAL MANAGEMENT GROUP	CV 03 1826 PHX	D AZ	2/22/2006	4b(A)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
GLOBAL TELECOM, INC.	01-18	CFTC	10/4/2005			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$220,000; THE REVOCATION OF THE COMPANY'S REGISTRATION, A THREE-YEAR TRADING BAN, AND A C&D ORDER SANCTION IMPOSED BY THE ALJ ON 1/17/03 AND NOT APPEALED SHALL STAND.
GOROS, LLC	1:040V0016	ND OH	4/19/2006				DISMISSED

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GREG ALLOTTA ENTERPRISES, INC.	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
GUARINO, NICHOLAS A., JR.	03-2193	D KS	7/11/2006	4o(1)	4.41(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$2,374,582 AND CIVIL MONETARY PENALTY OF \$7,123,746 EACH JOINTLY OWED; TRADING PROHIBITION.
HARP, ROBERT	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
HARRINGTON ADVISORY SERVICES SLU a/k/a HARRINGTON GROUP, INC.	05-61588	SD FL	11/30/2006	4o(1)(A)&(B); 4k(3); 4m(1)	4.41(a)(1)&(2); 4.41(b)(1)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$9,555,041 AND CIVIL MONETARY PENALTY OF \$9,500,000 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL DESIGNATED AS MONITOR.
HARRIS, CHARLES LEE	04C 5723	ND IL	2/9/2006	4b(a)(i)-(iii); 4c(b); 4o(1); 4k(2); 4m(1)	33.10	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$13,904,331.14 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$7,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED.
HAWKER, BRYAN KEITH	2:03 CV-0260	D UT	3/29/2006			SUPPLEMENTAL ORDER	RESTITUTION OF \$245,163.47 PLUS POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$120,000 EACH JOINTLY OWED.
HAYES, MICHAEL	4:06cv130	ED VA	9/29/2006			COMPLAINT FILED	
HEFFERNAN, GEORGE a/k/a GEORGE W. MARSHALL	4 04 23302 25	D SC	1/11/2005	4o(1); 4m(1)	4.41(a)	PRELIMINARY INJUNCTION	ACCOUNT ORDER; STOP SOLICITATION.
HOFFMAN, PETER D.	06C 6473	ND IL	12/13/2006	4b(a)(2)(i)&(iii); 4c(b); 4o(1)	33.10; 4.41(a)(9)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.

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HOLMAN, EDDIE JR. d/b/a C-THRU INC.	06-07	CFTC	9/27/2006	4o	4.13(c)(1)&(3); 4.20(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$240,000; RESTITUTION OF \$146,600 TO BE PAID WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
HOLT, RONALD STEPHEN	CV 03 1826 PHX	D AZ	2/22/2006	4b(A)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
IANNUZZI, ANTHONY	03 CV 9129	SD NY	11/9/2006				DISGORGEMENT OF \$970,573 AND RESTITUTION OF \$970,573 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER.
IANNUZZI, ANTHONY	03 CV 9125	SD NY	11/9/2006			ORDER	DISGORGEMENT OF \$1,700 AND RESTITUTION OF \$447,314 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER.
IMS HOLDINGS, LLC	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.

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INFOREX, LTD.	3-05 CV 0416M	ND TX	3/2/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
INTERNATIONAL BERKSHIRE GROUP HOLDINGS, INC.	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
INTERNATIONAL COMMODITY CLEARING, LLC	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	
INTERNATIONAL FOREX ADVISORY GROUP	05 CV 4819	SD NY	11/4/2005	4c(b)	1.1(b)	DEFAULT ORDER	RESTITUTION OF \$2,701,960 PLUS PRE & POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$3,178,530 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION.
INTERNATIONAL FUNDING ASSOCIATION, INC.	CV 03 1826 PHX	D AZ	2/22/2006	4b(A)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
INTERNATIONAL IMS GROUP HOLDINGS, INC., a/k/a IMS HOLDINGS, INC. a/k/a IMS GROUP HOLDINGS, INC.	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
INTERNATIONAL INVESTMENTS HOLDINGS CORPORATION	05-61588	SD FL	11/30/2006			PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$1,350,000; DAN DRISCOLL DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INTERNATIONAL INVESTMENTS HOLDINGS CORPORATION	06-60001	SD FL	8/16/2006	4c(b)	1.1(b)&(3); 32.9(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$6,060,000 PLUS POST JUDGMENT INTEREST WITHIN TEN DAYS; CIVIL MONETARY PENALTY OF \$6,060,000 WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION.
INVESTORS FREEDOM CLUB, L.C.	8:03-CV-54-T	MD FL	4/4/2005	4(a); 4b(a)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	NFA DESIGNATED AS MONITOR; STOP SOLICITATION; TRADING PROHIBITION; MOTION FOR PARTIAL SUMMARY JUDGMENT AS TO LIABILITY GRANTED; ISSUE OF DAMAGES REMAINS OPEN FOR DETERMINATION.
ISRAEL, SAMUEL II	05 CIV 8374	SD NY	4/3/2006	4o(1); 9(a)(3)	1.16	PERMANENT INJUNCTION	RESTITUTION & CIVIL MONETARY PENALTY TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION.
ISRAEL, SAMUEL II	SD 06-03	CFTC	8/21/2006			COMMISSION ORDER	AP REVOKED; SHALL COMPLY WITH UNDERTAKINGS.
JASON'S ROOFING AND WATERPROOFING, INC.	06-60001	SD FL	8/16/2006	4c(b)	1.1(b)&(3); 32.9(a)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$529,340 WITHIN TEN DAYS.
JEDLICKI, JEFFERY PAUL	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
JEDLICKI, JEFFREY P.	06-60001	SD FL	9/28/2006				DISGORGEMENT OF \$100,000 TO BE PAID WITHIN TEN DAYS PLUS POST JUDGMENT INTEREST; GERALD B. WALD APPOINTED AS MONITOR.
JEDLICKI, JEFFREY P. a/k/a JEFFREY PAUL	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
JEDLICKI, TIRTZA	06-60001	SD FL	9/28/2006				DISGORGEMENT OF \$16,000 TO BE PAID WITHIN TEN DAYS PLUS POST JUDGMENT INTEREST; GERALD B. WALD APPOINTED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
JEFFERY JEDLICKI, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
JEN, LYNNWOOD	CV03-8339	CD CAL	11/29/2006			ORDER	DISGORGEMENT OF \$10,000 PLUS POST JUDGMENT INTEREST.
JIMENEZ, ALBERTO J.	06-60886	SD FL	12/15/2006	4c(b)	33.10	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
JOE VALKO ENTERPRISES, INC.	06-60001	SD FL	8/16/2006	4c(b)	1.1(b)&(3); 32.9(a)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$70,116 WITHIN TEN DAYS.
JOHN TADDEO ENTERPRISES, INC.	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
JOHNSON, DENETTE	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
JOHNSON, EDWARD T.	04-80132	SD FL	5/30/2006	13c(b); 6(c)	1.2	FINAL JUDGMENT	RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$191,367; STOP SOLICITATION; TRADING PROHIBITION.
JOHNSON, G. VICTOR	04-29	CFTC	6/13/2005		1.16(d)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; JOINTLY OWE CIVIL MONETARY PENALTY OF \$150,000, DISGORGEMENT OF \$13,200 AND RESTITUTION OF \$200,00; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
JSG FREIGHT SYSTEMS, INC.	03 CV 9126	SD NY	11/9/2006			ORDER	DISGORGEMENT OF \$417,537.
KAHN, LARRY	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$525,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
KARKAZIS, HARRY	07-01	CFTC	12/27/2006	4b(a)(1)(iv)	1.35(d)(6)&(7)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000 TO BE PAID WITHIN TEN DAYS; FLOOR BROKER REGISTRATION SUSPENDED FOR THREE MONTHS; SHALL COMPLY WITH UNDERTAKINGS.

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KAULENTIS, DEAN J.	SD 05-05	CFTC	8/1/2005			COMMISSION ORDER	FLOOR BROKER REGISTRATION SUSPENDED FOR SIX WEEKS AND THEN RESTRICTED FOR THREE YEARS AFTER SUSPENSION IS LIFTED.
KEESEY, TOM	06-20979	SD FL	4/18/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
KELLY, DAVID PAUL, II	03-74206	ED MI	6/8/2005	4k(2)		DEFAULT ORDER	DISGORGEMENT OF \$49,300 AND CIVIL MONETARY PENALTY OF \$110,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
KENNEDY, THOMAS C.	06-60886	SD FL	6/20/2006			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS.
KING, CARL W.	3-06CV1583	ND TX	8/30/2006			COMPLAINT FILED	
KINGSFIELD, PAMELA	3:00cv103-V	WD NC	10/25/2006			ORDER	DISGORGEMENT OF \$175,000.
KIS, CHRISTIAN	3 06 0935	MD TN	10/17/2006	4b(a)(2)(ii); 4m(1); 4o(1)	4.20(a-b); 4.21; 4.30; 4.31	PRELIMINARY INJUNCTION	OCTOBER 6, 2006 STATUTORY RESTRAINING ORDER REMAINS IN FULL FORCE & EFFECT - FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
KLINE, JAYSON S.	04-80132	SD FL	5/30/2006	13c(b); 6(c)	1.2	FINAL JUDGMENT	RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; STOP SOLICITATION; TRADING PROHIBITION.
KLOTZ, MONETTE	1 05 CV 0166	WD MI	6/1/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
KLOTZ, TY	1 05 CV 0166	WD MI	6/1/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KNOWLES, STEVEN D.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
KNOWLES, STEVEN D.	04-60744	SD FL	5/22/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$1,600,000; CIVIL MONETARY PENALTY OF \$400,000; STOP SOLICITATION; TRADING PROHIBITION.
KOROBOV, MICHAEL	03 CV 9126	SD NY	11/6/2006	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$6,800,951 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; ALL PRIOR FREEZE ORDERS ARE DISSOLVED.
KUHNEY, LINDA a/k/a LINDA REINMAN ENZINNA	05 CV 5741	SD NY	2/11/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
KUHNEY, MICHAEL a/k/a MICHAEL KIRKNEY	05 CV 5741	SD NY	2/11/2006			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LABELL, STEVEN	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$525,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
LAKE DOW CAPITAL, LLC a/k/a CLIFFORD, EDWARDS, AND TAYLOR	1 05-CV 2709	ND GA	11/8/2005	4o(1); 9a(4)	4.22(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; RECEIVER IS AUTHORIZED AND DIRECTED TO DISBURSE THE SUMS OF \$16,721.54 TO WEIZENECKER, MOTTERN & FISHER, P.C.; \$8,038 TO BRENT GILLET, ESQ.; AND \$230 TO LANDMARK CONSULTING, INC. FOR LEGAL AND ACCOUNTING SERVICES.
LANIER, RANDY STEVE	5:05-cv-516	WD OK	3/30/2006	4b(a)(2)(i)-(iii); 4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$110,860; CIVIL MONETARY PENALTY OF \$120,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LARSON, KEVIN D.	06-01	CFTC	12/22/2005	4o(1)(B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; ASSOCIATED PERSON REGISTRATION REVOKED; PROHIBITED FROM TRADING FOR 18 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
LAUREN, LEA	05-61672	SD FL	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$4,000 PER MONTH FOR REASONABLE LIVING EXPENSES.
LAWLESS, JOHN D.	05C 5619	ND IL	9/29/2005			COMPLAINT FILED	
LEE, JOHN DANIEL	03-74206	ED MI	6/8/2005	4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4k(2)	33.10		RESTITUTION OF \$1,692,501 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$550,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
LEON, ADAM	1:05cv492	ED VA	11/1/2006			ORDER	JOINT OWED RESTITUTION OF \$287,660; ALL OTHER PROVISIONS OF THE 9/15/06 ORDER SHALL REMAIN AS ORIGINALLY WRITTEN.
LEVY, JAY M.	05-80002	SD FL	5/19/2006	4c(b)	33.10	FINAL JUDGMENT	RESTITUTION OF \$146,350.88 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$600,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION.
LIBERTY ONE ADVISORS, LLC	05-60928	SD FL	6/27/2006	4c(b)	32.9(a)&(c)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LIGHTHOUSE CAPITAL MANAGEMENT, LLC	05-60928	SD FL	6/27/2006	4c(b)	32.9(a)&(c)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION.
LISKIEWICZ, MICHAEL J.	06-04	CFTC	6/12/2006	4b(a)(2)(i)-(iii); 4o(1)(A)&(B); 4m(1)	4.20; 4.21	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
LOCHMANN, VICTOR	05-12	CFTC	8/29/2006	4b(a)(2)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$19,146; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED WITH PREJUDICE AND TERMINATED IN ITS ENTIRETY.
LONGBOAT GLOBAL FUNDS MANAGEMENT, LLC	C 05 02142	ND CAL	8/19/2005	4o(1)(A)&(B)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ROBB, EVANS AND ASSOCIATES, LLC APPOINTED TEMPORARY RECEIVER.
LONGHORN FINANCIAL ADVISORS, LLC.	1:04CV00911	MD NC	3/28/2006	4b(a)(2)(i)&(iii); 4o(1); 4k(3); 4m(1)	4.41(a); 4.31(a)&(b)	PERMANENT INJUNCTION	RESTITUTION OF \$308,439.76 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
LOVETT, BRETT E. individually and d/b/a NORTHWEST ASSET FUND	CV05-5074	CD CAL	7/15/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; COMMISSION'S MOTION IS GRANTED AND IT IS AUTHORIZED TO CONDUCT EXPEDITED DISCOVERY.
LU, HAO JAN	CV03-8339	CD CAL	7/5/2005	4b(a)(2)(i)&(iii)		SUMMARY JUDGMENT	MOTION FOR PARTIAL SUMMARY JUDGMENT GRANTED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MACHATA, ANDREW	06-08	CFTC	9/27/2006	4c(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$130,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.
MADDOX, HUGH J.	05-10	CFTC	6/9/2005	4b(a)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$31,000; PROHIBITED FROM TRADING FOR HIS OWN ACCOUNT FOR 1 YEAR; RESTITUTION OF \$25,000; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
MADISON FOREX INTERNATIONAL, LLC	05-61672	SD FL	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MAGGIO, JAMES ANTHONY	C 05 5766RJB	WD WA	11/25/2005			COMPLAINT FILED	
MAIN, BRIAN	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MALCOLMSON; ERIC SCOTT	04-80862	SD FL	12/5/2005	4c(b)		FINAL JUDGMENT	CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED.
MARCHIANO, JOSEPH	1:05cv492	ED VA	11/1/2006			ORDER	JOINT OWED RESTITUTION OF \$287,660; ALL OTHER PROVISIONS OF THE 9/15/06 ORDER SHALL REMAIN AS ORIGINALLY WRITTEN.
MARGOL, STEPHEN	1 03 CV-2633	ND GA	6/29/2006	4c(b)	33.10(a) & (c)	PERMANENT INJUNCTION	RESTITUTION OF \$44,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$86,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
MARINO, DANIEL E.	05 CIV 8374	SD NY	9/29/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARQUIS FINANCIAL MANAGEMENT SYSTEMS, INC.	03-74206	ED MI	6/8/2005	4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4m(1); 4k(2)	33.1	DEFAULT ORDER	RESTITUTION OF \$1,863,910 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$880,000 JOINTLY OWED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
MARQUIS GROUP, INC. (THE)	03-74206	ED MI	6/8/2005	4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4m(1); 4k(2)	33.1	DEFAULT ORDER	RESTITUTION OF \$1,863,910 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$880,000 JOINTLY OWED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
MARTIN, ROBERT L.	05CV62-CVE-FHM	ND GA	2/1/2005			COMPLAINT FILED	
MATTHEWS, RICHARD	04 CV 2093	SD CAL	11/28/2006	4c(b)	1.1; 32.9; 32.11	PERMANENT INJUNCTION	RESTITUTION OF \$16,054,742.05; CIVIL MONETARY PENALTY OF \$14,767,579.76; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
MCBRIDE, JAMES R.	06-01	CFTC	12/22/2005	4o(1)(B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; ASSOCIATED PERSON REGISTRATION REVOKED; PROHIBITED FROM TRADING FOR 18 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
MCCAFFERY, JACK	05C 5619	ND IL	9/29/2005			COMPLAINT FILED	
MCCALL, RICHARD d/b/a MASTERY GROUP INTERNATIONAL	2:06-CV-00132	D NV	2/22/2006			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
MCDONALD, CHRISTOPHER	1:05-CV-0293	ND GA	11/17/2006	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$350,000 TO BE PAID WITHIN TEN BUSINESS DAYS PLUS POST JUDGMENT INTEREST.
MCKENNA, BRION SCOTT	SD 05-03	CFTC	5/20/2005			COMMISSION ORDER	AP REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS.
MCLAUGHLIN, SHAWN	05-D-178	D CO	2/1/2005			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MENDEZ, ROXANA SOFIA LAO a/k/a ROXANA SOFIA LAO	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MERCURY FINANCIAL PARTNERS, INC.	05-60328	SD FL	11/9/2005	4c(b)	32.9	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$148,756 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,080,000; ACCOUNT ORDER; STOP SOLICITATION; NFA DESIGNATED AS MONITOR.
MERCURY MANAGEMENT, L.C.	05-60328	SD FL	8/18/2006	4c(b)	33.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$15,000; CIVIL MONETARY PENALTY OF \$120,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
MERCURY PARTNERS, INC.	05-60328	SD FL	7/1/2005	4c(b)	32.9	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$148,756 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,080,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
MESA, MICHAEL	06-20979	SD FL	4/18/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
MICHAEL EDWARDS TRADING GROUP, LTD.	03 CV 9126	SD NY	11/9/2006			ORDER	DISGORGEMENT OF \$844,841.
MICHAEL SAVITSKY, INC.	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
MILLS, ADAM	04-60744	SD FL	5/22/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$250,000; CIVIL MONETARY PENALTY OF \$75,000; STOP SOLICITATION; TRADING PROHIBITION.

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MISCHLER, JEFFREY A.	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.
MONI INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MOORE, COURTNEY CUBBISON	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
MORGAN, MICHAEL	05-60328	SD FL	8/18/2006	4c(b)	33.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$95,000; CIVIL MONETARY PENALTY OF \$120,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
MORRIS, ELLISON KENT	03-80032	SD FL	1/4/2005				CIVIL MONETARY PENALTY OF \$448,389.18.
MUELLER, DAVID J.	05-09	CFTC	6/3/2005	4b(a)(2)(i)&(iii)	166.2	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000; PERMANENTLY PROHIBITED FROM TRADING; SHALL COMPLY WITH UNDERTAKINGS.
MUSOROFITI, DAWN	CV 05 3917	ED NY	8/16/2005			COMPLAINT FILED	
MUSOROFITI, GERALDINE	CV 05 3917	ED NY	8/16/2005			COMPLAINT FILED	
NASS, VYACHESLAV	06 CV 1692	SD NY	12/18/2006	4(a); 4(b)(a)(2)(C)(i) &(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	DEFAULT ORDER; JOINT OWED RESTITUTION OF \$4,464,607.91 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
NATIONAL COMMODITIES CORPORATION, INC.	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	

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NATIONAL INVESTMENT CONSULTANTS, INC.	C 05 2641	ND CAL	12/19/2006				STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL.
NEW YORK CAPITAL ASSETS, INC.	03 CV 9128	SD NY	11/7/2006			ORDER	DISGORGEMENT OF \$226,522 AND RESTITUTION OF \$226,522 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER.
NEXGEN SOFTWARE SYSTEMS, INC.	H-04 2947	SD TX	7/27/2006	4m(1)	4.10(f); 4.31	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$20,000.
NOVAK, JOHN P.	H-04 2947	SD TX	7/27/2006	4m(1)	4.10(f); 4.31	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$20,000.
OAKMONT INTERNATIONAL LLC	05-61588	SD FL	1/30/2006	4c(b)	1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
ORION INTERNATIONAL, INC.	CV 03 603	D OR	6/16/2006	4b(a); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$28,823,034 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$86,469,100 PLUS POST JUDGMENT INTEREST; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
OUYANG, BEN	CV 03-0833	CD CAL	3/11/2005	4b(a); 4b(a)(i)-(iii)		PERMANENT INJUNCTION	RESTITUTION OF \$1,063,298.35 AND CIVIL MONETARY PENALTY OF \$120,000 JOINTLY OWED WITH VICTCO FINANCIAL SERVICES, INC.; NFA DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
OWEN, ROGER	1:04CV00911	MD NC	3/28/2006	4b(a)(2)(i)&(iii); 4o(1); 4k(3); 4m(1)	4.41(a); 4.31(a)&(b)	PERMANENT INJUNCTION	RESTITUTION OF \$308,439.76 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
OWNBEY, CAMERON individually and d/b/a ULTIMUS AND FIRST NATIONAL INVESTMENTS	03 C 6592	ND IL	12/5/2006	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	RESTITUTION OF \$269,852.21 AND CIVIL MONETARY PENALTY OF \$345,000 PLUS POST JUDGMENT INTEREST FOR EACH; TRADING PROHIBITION.
OWNBEY, CAMERON S.	01-18	CFTC	10/4/2005			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$220,000; THE REVOCATION OF REGISTRATION, A THREE-YEAR TRADING BAN, AND A C&D ORDER SANCTION IMPOSED BY THE ALJ ON 1/17/03 AND NOT APPEALED SHALL STAND.
PACIFIC BEST GROUP, LTD. a/k/a PACIFIC BEST COMPANY LTD.	C 05 2641	ND CAL	12/19/2006				STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL.
PALOMINO CAPITAL MANAGEMENT	SD 05-04	CFTC	7/14/2005			COMMISSION ORDER	CPO REGISTRATION REVOKED.
PAPPALARDO, JOSEPH	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
PARKER, DAVID	SACV 04-575	CD CAL	8/29/2005	4b(a)(2)(i)&(iii); 4k(2); 4m(1); 4o(1)(A)&(B)	4.41(a)(1)&(2)	PERMANENT INJUNCTION	DEFAULT ORDER; FREEZE OF ASSETS; TRADING PROHIBITION; STOP SOLICITATION; RESTITUTION OF \$381,403.38 AND CIVIL MONETARY PENALTY OF \$1,036,787.40 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PECK, CHRISTOPHER	05-61672	SD FL	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$5,000 PER MONTH FOR REASONABLE LIVING EXPENSES.
PELUCETTE, RICHARD	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
PERKINS, WILLIAM D.	1:06-cv-4674	D NJ	9/28/2006			COMPLAINT FILED	
PHILADELPHIA ALTERNATIVE ASSET MANAGEMENT COMPANY, LLC	05 cv 2973	ED PA	9/19/2005	4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1)	33.10; 4.41(a)(1)&(2); 4.20(a)-(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; C. CLARK HODGSON, JR APPOINTED PERMANENT RECEIVER.
PHOENIX FINANCIAL GROUP	1:04CV00911	MD NC	3/28/2006	4b(a)(2)(i)&(iii); 4o(1); 4k(3); 4m(1)	4.41(a); 4.31(a)&(b)	PERMANENT INJUNCTION	RESTITUTION OF \$308,439.76 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
PIPPIN, STUART individually and d/b/a PIPPIN INVESTMENTS	CV 05 4120	ED NY	4/26/2006	4b(a)(2)(C)(i)-(iii); 4o(1)(A)&(B); 4m(1)	4.20	PERMANENT INJUNCTION	RESTITUTION OF \$1,681,674.22 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$106,500 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
PLUNKETT, PAUL F.	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
PLUNKETT, PAUL F.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
POOLE, JOHN a/k/a JAMES DREW, individually and d/b/a MAC SYSTEMS	1:05CV00859	MD NC	5/1/2006	4o(1)(A)&(B)	4.41(a)(1)&(2)	PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION.
PRANOLO, ESTHER	CV03-8339	CD CAL	11/29/2006			ORDER	DISGORGEMENT OF \$55,897.79 PLUS POST JUDGMENT INTEREST.
PREMIUM INCOME CORPORATION	3-05 CV 0416M	ND TX	3/2/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
PRESIDENTIAL FX, INC.	1:05cv492	ED VA	11/1/2006			ORDER	JOINT OWED RESTITUTION OF \$287,660; ALL OTHER PROVISIONS OF THE 9/15/06 ORDER SHALL REMAIN AS ORIGINALLY WRITTEN.
PROFIT PARTNERS, INC.	CV03-9190	CD CAL	4/11/2005	4o(1); 4m(1)	4.16; 4.41(a)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$30,000 TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION.
PROSPERITY CONSULTANTS, INC.	05-80592	SD FL	11/6/2006	4o(1); 6(c)	4.30	ORDER	STOP SOLICITATION.
QUALIFIED LEVERAGE PROVIDERS, INC.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
QUALIFIED LEVERAGE PROVIDERS, INC.	05-61672	SD FL	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
QUESADA, BEATRIZ PERALTA a/k/a BEATRIZ PERALTA	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
R&W TECHNICAL SERVICES, LTD.	96-3	CFTC	6/24/2005			COMMISSION ORDER	ORDER OF SUMMARY AFFIRMANCE ISSUED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RASK, JAMES JOHN	CV 06-162	D OR	2/23/2006	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$2,409,565 PLUS PRE& POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,965,565 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
RAY, BRIAN W.	03-11	CFTC	8/25/2005	4(b)(a)(i)&(iii)		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$860,250; PERMANENT TRADING PROHIBITION; FB REGISTRATION REVOKED; RESPONDENT & DOE FILE NOTICES OF APPEAL.
RB&H FINANCIAL SERVICES, LP	01-18	CFTC	10/4/2005			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$220,000; C&D ORDER IMPOSED BY THE ALJ ON 1/17/03 IS ALSO AFFIRMED.
REAGAN, GREGORY M.	96-3	CFTC	6/24/2005			COMMISSION ORDER	ORDER OF SUMMARY AFFIRMANCE ISSUED.
REED, MATTHEW	05-D-178	D CO	2/1/2005			COMPLAINT FILED	
RESK CAPITAL TRADING GROUP, INC.	SD 06-04	CFTC	9/1/2006			COMPLAINT FILED	
REVERIE, LLC	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.
RG GROUP HOLDING LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RIA RIVIERA, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RICHMOND FAIRFIELD ASSOCIATES, CERTIFIED PUBLIC ACCOUNTANTS PLLC	05 CIV 8374	SD NY	9/29/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
RICHMOND GLOBAL ASSOCIATES LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL DIRECTOR LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL LTD.	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL MANAGED ACCOUNT LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL MCA LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND ROYCE ADVISORY SERVICES, SLU a/k/a RICHMOND ROYCE INTERNATIONAL GROUP, LTD	05-61588	SD FL	11/30/2006	4o(1)(A)&(B); 4k(3); 4m(1)	4.41(a)(1)&(2); 4.41(b)(1)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$9,555,041 AND CIVIL MONETARY PENALTY OF \$9,500,000 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL DESIGNATED AS MONITOR.
RICHMOND, ANDREW	05-M-668	D COL	4/12/2005			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RIPLEY, DAMON	03 CV 9128	SD NY	11/7/2006			ORDER	DISGORGEMENT OF \$226,522 AND RESTITUTION OF \$226,522 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER.
RISK CAPITAL TRADING GROUP	1 03 CV-2633	ND GA	6/29/2006	4c(b)	33.10(a) & (c)	PERMANENT INJUNCTION	RESTITUTION OF \$12,833,470 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$8,771,235 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
RISK CAPITAL TRADING GROUP, INC.	SD 06-04	CFTC	12/20/2006			ALJ ORDER	REGISTRATION AS INTRODUCING BROKER REVOKED; INITIAL DECISION ON DEFAULT ENTERED.
RODRIGUEZ, LAZARO JOSE	06 CV 0855	SD NY	2/3/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
ROGERS, GERALD LEO a/k/a JAY ROGERS AND JAY RODGERS	3-05 CV 0416M	ND TX	3/2/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
ROLLING MEADOW RANCH, INC.	06-08	CFTC	9/27/2006	4c(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$130,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.
ROMANO, LEE N., II	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ROSS, ANDREW D.	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
ROSSI, ROBERT	99-4	CFTC	8/17/2005	4b(a)(i)-(iii); 13(a)&(b); 2(a)(i)(A)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$400,000; TRADING PROHIBITION; RESTITUTION OF \$276,557.
ROTMISTRENKO, UDO	SD 04-05	CFTC	3/18/2005			ALJ ORDER	UNOPPOSED MOTION FOR DEFAULT GRANTED; REGISTRATIONS AS COMMODITY TRADING ADVISOR AND ASSOCIATED PERSON SUSPENDED.
ROUMIANTSEUA, NATALIA	03 CV 9124	SD NY	11/7/2006			ORDER	DISGORGEMENT OF \$20,000.
ROYAL BERG, INC.	05-07	CFTC	1/18/2005		4.36	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN BUSINESS DAYS.
RUSSO, JAMES JOSEPH	04-80862	SD FL	12/5/2005	4c(b)		FINAL JUDGMENT	CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED.
SABERI, ANDY	01-11	CFTC	3/2/2005	4a(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000; 30 DAY TRADING PROHIBITION; SANCTIONS SHALL BECOME EFFECTIVE ON THE 30TH DAY FOLLOWING THE DATE ORDER IS SERVED.
SAFEGUARD FX, LLC	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SALINAS, MATTHEW	03 CV 9128	SD NY	11/6/2006	4b(a)(2)	1.1(b)	PERMANENT INJUNCTION	DISGORGEMENT OF \$14,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$42,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; ALL PRIOR FREEZE ORDERS DISSOLVED; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER.
SAUME, CARLOS ALEJANDRO LIBERA	05-61903	SD FL	11/15/2006	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$5,799,719.41; DISGORGEMENT OF \$5,799,719.41; CIVIL MONETARY PENALTY OF \$16,396,067.91; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
SAVITSKY, MICHAEL	04-60744	SD FL	5/22/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$660,000; CIVIL MONETARY PENALTY OF \$140,000; STOP SOLICITATION; TRADING PROHIBITION.
SAVITSKY, MICHAEL H., III	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
SCHIERA, MONICA SUE a/k/a MONICA SCHIERA-MAIN AND MONICA S. MONTES	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
SCHMIDT, STEPHEN A.	CV 04 3081	ED NY	9/6/2006			PERMANENT INJUNCTION	DISGORGEMENT OF \$75,000 AND CIVIL MONETARY PENALTY OF \$175,000 EACH JOINTLY OWED WITHIN TEN DAYS; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
SCHOLZE, GARY F.	2:06-CV-114	D VT	6/29/2006	4b(a)(2)(i)-(III); 4c(b); 4m(1); 4o(1)	4.20; 4.21; 4.30; 4.31; 33.10	STATUTORY RESTRAINING ORDER & PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SCHOTZ, BARRY	04-08889	CD CAL	6/16/2005	4b(a)(2)(i)-(iii); 4o(1)(A)&(B); 4m(1); 4n(4)	4.20(c); 4.21; 4.22	PERMANENT INJUNCTION	RESTITUTION OF \$2,983,487 PLUS PREJUDGMENT INTEREST IN THE AMOUNT OF \$62,466.76 AND POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,600,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
SCHROEDER, STEVEN G.	1:06CV0705	WD MI	10/6/2006	4b(a)(2)(i)-(iii); 4o(1); 4m(1)	4.31	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
SCHWARTZ, STUART	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$460,000; CIVIL MONETARY PENALTY OF \$176,138; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
SEIGLER, WILLIAM DAVID, JR.	05-60342	SD FL	3/30/2006	4c(b)	32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$500,000.
SHAH, ABBAS A.	05 CV 8091	SD NY	9/19/2005			COMPLAINT FILED	
SHEVCHENKO, ALEXANDER IGOR	3-05 CV 0416M	ND TX	3/2/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
SHUSTER, SHUSTER, AND SHUSTER, LTD.	03 4999	ED NY	8/29/2006			DEFAULT ORDER	DISGORGEMENT OF \$1,062,593 PLUS PRE & POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SHUSTER, SHUSTER, AND SHUSTER, LTD.	03 CV 9126	SD NY	11/9/2006			ORDER	DISGORGEMENT OF \$699,054.
SIBBITT, MARY JO	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.
SIEGEL, RICK	1 03 CV-2633	ND GA	8/14/2006			ORDER	RESTITUTION OF \$8,301.92 PLUS PRE JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$150,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SILBERSTEIN, ANDREW M.	1:04-cv-666	D MD	2/28/2005	4b(a)(i)-(iii); 4m(1); 4o(1)(A)&(B)	4.20(a)&b; 4.21	PERMANENT INJUNCTION	RESTITUTION OF \$440,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
SMITHERS, CHRISTOPHER	05-80592	SD FL	11/6/2006	4o(1); 6(c)	4.30	ORDER	STOP SOLICITATION.
SMITHERS, JACK	05-80592	SD FL	11/6/2006	4o(1); 6(c)	4.30	ORDER	STOP SOLICITATION.
SNYDER, WILLIAM	CV-N-06-512	D NV	11/6/2006	4b(a)(2)(i)-(iii); 4o(1); 4k(2)	4.41(a); 4.20; 4.21	PRELIMINARY INJUNCTION	TRADING PROHIBITION.
SOFIA, JOEL	03-74206	ED MI	6/21/2005	4k(2)		PERMANENT INJUNCTION	RESTITUTION OF \$25,162.50 AND CIVIL MONETARY PENALTY OF \$10,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
SONOMA TRADING CORPORATION	05-60342	SD FL	3/30/2006	4c(b)	32.11(a)	PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$500,000.
SOUTH CHINA INVESTMENTS, INC.	C 05 2641	ND CAL	6/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
SOUTH COAST COMMODITIES	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,500,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
SOUTH COAST COMMODITIES, INC.	SD 07-01	CFTC	12/7/2006			STATUTORY DISQUALIFICATION FILED	
SPIVAK, GENNADY a/k/a GEORGE SPIVAK	03-80032	SD FL	1/4/2005				CIVIL MONETARY PENALTY OF \$1,361,700.00.
STARYK, MICHAEL	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
STEELE, KEVIN	05C 3130	ND IL	11/22/2005	4b(a)(2)(i)-(iii); 4o(1); 1a(29)		PERMANENT INJUNCTION	DEFAULT ORDER; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$7,409,194.75 TO BE PAID WITHIN 30 DAYS PLUS PRE-JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$6.2 MILLION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
STERN, ANDREW	05-21571	SD FL	6/13/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
STEVENS, DOUGLAS	C 03-1379VRW	ND CAL	6/17/2005	4(a); 4b(a)(2)(i)-(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$7,108,186.11 PLUS PRE-JUDGMENT INTEREST OF \$4,396,839.13 AND POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,191,597.43 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR; ASSET FREEZE LIFTED.
STRATFORD ADVISORY SERVICES	05-61588	SD FL	11/30/2006	4o(1)(A)&(B); 4k(3); 4m(1)	4.41(a)(1)&(2); 4.41(b)(1)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$9,555,041 AND CIVIL MONETARY PENALTY OF \$9,500,000 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL DESIGNATED AS MONITOR.
SUCCESS DIRECT	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
TAMB INTERNATIONAL, INC.	CV 03 0177	ED NY	5/5/2006			PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$240,000.
TAMBIEV, RUSSELL a/k/a ROUSIAN OR RUSSIAN TAMBIEV AND RUSSELL TAMB	CV 03 0177	ED NY	5/5/2006			PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$240,000.
TAX ACCOUNTING OFFICE, INC.	1:06-cv-4674	D NJ	9/28/2006			COMPLAINT FILED	
TILLMAN, RICHARD	1 03 CV-2633	ND GA	7/13/2006	4c(b)	33.10(a) & (c)	PERMANENT INJUNCTION	RESTITUTION OF \$15,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
TRACY, JOHN	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
TRADE EXCHANGE NETWORK	05-14	CFTC	9/29/2005	4c(b)	32.11	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$150,000 WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
TRADE PRO, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
TRADE RISK MANAGEMENT, LLC (OR)	C 05 5766RJB	WD WA	11/25/2005			COMPLAINT FILED	
TRADE RISK MANAGEMENT, LLC (WA)	C 05 5766RJB	WD WA	11/25/2005			COMPLAINT FILED	
TRADEWINDS INTERNATIONAL, LLC	04C 5723	ND IL	2/9/2006	4b(a)(i)-(iii); 4c(b); 4o(1); 4k(2); 4m(1)	33.10	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$13,904,331.14 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$7,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED.
TRADEWINS PUBLISHING, CORP.	CV 04 3081	ED NY	9/6/2006			PERMANENT INJUNCTION	DISGORGEMENT OF \$75,000 AND CIVIL MONETARY PENALTY OF \$175,000 EACH JOINTLY OWED WITHIN TEN DAYS; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
TRI LYNX	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
TRI-FOREX INTERNATIONAL, LTD. a/k/a TRI-FOREX LTD. and INTERNATIONAL FOREX COMPANY	3-05 CV 0416M	ND TX	3/2/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
TSE, WEI M. a/k/a RAYMOND TSE	C 05 2641	ND CAL	12/19/2006				STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL.
TUCELLI, PHILLIP	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
TURNER, RONALD	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
U.S. CAPITAL MANAGEMENT, INC.	05-60928	SD FL	6/27/2006	4c(b)	32.9(a)&(c)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION.
UNITED EQUITY GROUP, INC.	05-60928	SD FL	6/27/2006	4c(b)	32.9(a)&(c)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION.
UNITED INVESTORS GROUP, INC.	05-80002	SD FL	6/6/2006	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION.
UNITED INVESTORS GROUP, INC.	SD 06-02	CFTC	12/20/2006			ALJ ORDER	REGISTRATION AS INTRODUCING BROKER REVOKED; INITIAL DECISION ON DEFAULT ENTERED.
UNIVERSAL FINANCIAL HOLDING CORPORATION	04CV3641	ED PA	9/22/2006			PERMANENT INJUNCTION	RESTITUTION OF \$5,021,892 JOINTLY OWED; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
UNIVERSAL OPTIONS, INC.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
VALENTIN, JUAN	1 03 CV-2633	ND GA	6/29/2006	4c(b)	33.10(a) & (c)	PERMANENT INJUNCTION	RESTITUTION OF \$15,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
VALKO, DOREEN ROSE	06-60001	SD FL	1/4/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
VALKO, JOSEPH	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
VALKO, JOSEPH D. a/k/a JOE VALKO AND JOE VALKO, SR.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
VANDEVELD, GORDON J.	04-2181	WD TN	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.
VANGUARD FINANCIAL MANAGEMENT ASSOCIATION a/k/a VANGUARD FINANCIAL MANAGEMENT FOUNDATION	SACV 04-575	CD CAL	8/29/2005	4b(a)(2)(i)&(iii); 4k(2); 4m(1); 4o(1)(A)&(B)	4.41(a)(1)&(2)	PERMANENT INJUNCTION	DEFAULT ORDER; FREEZE OF ASSETS; TRADING PROHIBITION; STOP SOLICITATION; RESTITUTION OF \$381,403.38 AND CIVIL MONETARY PENALTY OF \$1,036,787.40 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
VERAS INVESTMENT PARTNERS, LLC	06-01	CFTC	12/22/2005	4o(1)(B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; COMMODITY POOL OPERATOR & COMMODITY TRADING ADVISOR REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS.
VICTCO FINANCIAL SERVICES, INC.	CV 03-0833	CD CAL	3/11/2005	4b(a); 4b(a)(i)-(iii)		PERMANENT INJUNCTION	RESTITUTION OF \$1,063,298.35 AND CIVIL MONETARY PENALTY OF \$120,000 JOINTLY OWED WITH BEN OUYANG; NFA DESIGNATED AS MONITOR.
VINOKUR, MIRON	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
WALL STREET UNDERGROUND, INC.	03-2193	D KS	7/11/2006	4o(1)	4.41(a)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$2,374,582 AND CIVIL MONETARY PENALTY OF \$7,123,746 EACH JOINTLY OWED; TRADING PROHIBITION.
WARENHANDELSGESELLSCH AFT CORINTH, m.b.H	05-11	CFTC	6/21/2005	4c(a)	1.39(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
WEATHERFORD, JAMES an individual d/b/a MANAGED-MINI.COM	CV04-4079	CD CAL	4/26/2005	4b(a)(i)&(iii); 4o(1)(A)&(B); 4m(1)	4.41(a)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$5,000 PLUS POST JUDGMENT INTEREST; 2 YEAR TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
WEB FULFILLMENT CENTRE, INC.	03-2193	D KS	4/7/2006	4o(1)	4.41(a)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$310,000 JOINTLY OWED; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WEBMAN, LARRY M.	05 CV 4819	SD NY	7/10/2006	4c(h); 4c(b)	1.1(b); 32.9	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$2,957,912 JOINT OWED PLUS PRE JUDGMENT INTEREST; SHALL NOT TRANSFER FUNDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
WEBMAN, MELVIN H.	05 CV 4819	SD NY	7/10/2006	4c(h); 4c(b)	1.1(b); 32.9	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$2,957,912 JOINT OWED PLUS PRE JUDGMENT INTEREST; SHALL NOT TRANSFER FUNDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
WEISS, JAMES I.	04 cv 45 (FSH)	D NJ	1/17/2005	4b(a)(2)(i)&(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$560,000 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
WEXLER, LYLE	05 CV 4819	SD NY	5/19/2005			COMPLAINT FILED	
WHALEN, MICHAEL	1:05-CV-0293	ND GA	11/17/2006	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$200,000 TO BE PAID WITHIN TEN BUSINESS DAYS PLUS POST JUDGMENT INTEREST.
WHITNEY, MICHAEL	H 05-333	SD TX	2/1/2005			COMPLAINT FILED	
WILSHIRE INVESTMENT MANAGEMENT CORPORATION	04-80862	SD FL	12/5/2005	4c(b)		FINAL JUDGMENT	CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED.
WILSHIRE INVESTMENT MANAGEMENT CORPORATION	SD 06-06	CFTC	9/28/2006			STATUTORY DISQUALIFICATION FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WILSHIRE, ANDREW ALAN	04-80862	SD FL	12/5/2005	4c(b)		FINAL JUDGMENT	CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED.
WILSON, CHRISTI	CV-N-06-512	D NV	11/6/2006	4b(a)(2)(i)-(iii); 4o(1); 4k(2)	4.41(a); 4.20; 4.21	PRELIMINARY INJUNCTION	TRADING PROHIBITION.
WINDSOR FOREX TRADING CORP.	CV 05 2547	ED NY	3/23/2006	4b(a)(2)(i)&(iii)		PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$266,767.88 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$266,767.88 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
WINN INDUSTRIES DIVISION OF ONTARIO LIMITED OR 1430214 ONTARIO, LIMITED	03 CV 9126	SD NY	11/9/2006			ORDER	DISGORGEMENT OF \$140,989.
WNUKOWSKI, LESLIE JEAN	SD 05-01	CFTC	5/3/2006			COMMISSION ORDER	COMMISSION AFFIRMED 3/29/05 DECISION; REGISTRATIONS AS A COMMODITY TRADING ADVISOR, COMMODITY POOL OPERATOR AND ASSOCIATED PERSON REVOKED.
WONG, THERESA C.	C 05 2641	ND CAL	9/1/2006	4b(i)&(iii); 4(a)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$1,781,500 JOINTLY OWED; DISGORGEMENT OF \$18,500; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
WORLD MARKET ADVISORS, INC.	05-60928	SD FL	6/27/2006	4c(b)	32.9(a)&(c)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WORLDWIDE COMMODITY CORPORATION	04CV3641	ED PA	9/19/2006			PERMANENT INJUNCTION	RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,500,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
WORLDWIDE COMMODITY CORPORATION	SD 07-02	CFTC	12/7/2006			STATUTORY DISQUALIFICATION FILED	
WORLDWIDE CURRENCIES CORP.	05 CV 4819	SD NY	11/4/2005	4c(b)	1.1(b)	DEFAULT ORDER	RESTITUTION OF \$255,952 PLUS PRE & POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$526,470 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION.
WORLD-WIDE CURRENCY SERVICES CORP.	03-80032	SD FL	1/4/2005				CIVIL MONETARY PENALTY OF \$4,331,658.90.
XU, YI KERRY	C 05 2641	ND CAL	9/1/2006	4b(i)&(iii); 4(a)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$1,781,500 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
YOOS, THOMAS W., JR.	06-60001	SD FL	1/31/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER.
YORK COMMODITIES	06 CV 7017	SD NY	9/12/2006			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS; SHALL COMPLY WITH UNDERTAKINGS.
ZHOU, RUN PING a/k/a FLORA ZHOU	C 05 2641	ND CAL	12/19/2006				STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL.

PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ZHUANG, JIAN	CV03-8339	CD CAL	11/30/2006	4(a); 4b(a)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	RESTITUTION OF \$2,264,879.94 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$250,000; STOP SOLICITATION; TRADING PROHIBITION.